



7020-02

## INTERNATIONAL TRADE COMMISSION

### Investigation No. 337-TA-1020

#### Certain Industrial Control System Software, Systems Using Same and Components Thereof

#### Institution of Investigation

**AGENCY:** U.S. International Trade Commission

**ACTION:** Notice

**SUMMARY:** Notice is hereby given that a complaint was filed with the U.S. International Trade Commission on August 5, 2016, under section 337 of the Tariff Act of 1930, as amended, 19 U.S.C. 1337, on behalf of Rockwell Automation, Inc. of Milwaukee, Wisconsin. A letter supplementing the complaint was filed on August 12, 2016. The complaint alleges violations of section 337 based upon the importation into the United States, the sale for importation, and the sale within the United States after importation of certain industrial control system software, systems using same and components thereof by reason of infringement of U.S. Patent No. 6,675,226 (“the ’226 patent”); U.S. Patent No. 6,816,817 (“the ’817 patent”); U.S. Patent No. 6,819,960 (“the ’960 patent”); U.S. Patent No. 6,978,225 (“the ’225 patent”); U.S. Patent No. 7,130,704 (“the ’704 patent”); U.S. Patent No. 7,650,196 (“the ’196 patent”); U.S. Patent No. 7,693,585 (“the ’585 patent”); and U.S. Patent No. 8,799,800 (“the ’800 patent”). The complaint further alleges that an industry in the United States exists as required by subsection (a)(2) of section 337.

The complainant requests that the Commission institute an investigation and, after the investigation, issue a limited exclusion order and cease and desist orders.

**ADDRESSES:** The complaint, except for any confidential information contained therein, is available for inspection during official business hours (8:45 a.m. to 5:15 p.m.) in the Office of the Secretary, U.S. International Trade Commission, 500 E Street, S.W., Room 112, Washington, D.C. 20436, telephone (202) 205-2000. Hearing impaired individuals are advised that information on this matter can be obtained by contacting the Commission's TDD terminal on (202) 205-1810. Persons with mobility impairments who will need special assistance in gaining access to the Commission should contact the Office of the Secretary at (202) 205-2000. General information concerning the Commission may also be obtained by accessing its internet server at <https://www.usitc.gov>. The public record for this investigation may be viewed on the Commission's electronic docket (EDIS) at <https://edis.usitc.gov>.

**FOR FURTHER INFORMATION CONTACT:** The Office of Unfair Import Investigations, U.S. International Trade Commission, telephone (202) 205-2560.

**SUPPLEMENTARY INFORMATION:**

**AUTHORITY:** The authority for institution of this investigation is contained in section 337 of the Tariff Act of 1930, as amended, and in section 210.10 of the Commission's Rules of Practice and Procedure, 19 C.F.R. 210.10 (2016).

**SCOPE OF INVESTIGATION:** Having considered the complaint, the U.S. International Trade Commission, on September 13, 2016, **ORDERED THAT** –

(1) Pursuant to subsection (b) of section 337 of the Tariff Act of 1930, as amended, an investigation be instituted to determine whether there is a violation of subsection (a)(1)(B) of section 337 in the importation into the United States, the sale for importation, or the sale within the United States after importation of certain industrial control system software, systems using the same, and components thereof by reason of infringement of one or more of claims 1, 9, and

10 of the '226 patent; claims 21, 25-27, and 30-35 of the '817 patent; claims 1-5, 7, 10, and 23-26 of the '960 patent; claims 1 and 3-6 the '225 patent; claims 1-3, 9, 13-16, 20 and 21 of the '704 patent; claims 1-6, 8-10, 12, 13, 15, and 16 of the '196 patent; claims 1, 2, 4, 5, 7, 15, 17-19, 21, and 25 of the '585 patent; claims 1, 3-5, and 7-15 of the '800 patent, and whether an industry in the United States exists as required by subsection (a)(2) of section 337;

(2) Pursuant to Commission Rule 210.50(b)(1), 19 C.F.R. 210.50(b)(1), the presiding administrative law judge shall take evidence or other information and hear arguments from the parties or other interested persons with respect to the public interest in this investigation, as appropriate, and provide the Commission with findings of fact and a recommended determination on this issue, which shall be limited to the statutory public interest factors set forth in 19 U.S.C. 1337(d)(1), (f)(1), (g)(1);

(3) For the purpose of the investigation so instituted, the following are hereby named as parties upon which this notice of investigation shall be served:

(a) The complainant is:

Rockwell Automation, Inc.

1201 South 2<sup>nd</sup> Street

Milwaukee, WI 53204-2410

(b) The respondents are the following entities alleged to be in violation of section 337, and are the parties upon which the complaint is to be served:

3S-smart Software Solutions, GmbH

Memminger Str. 151

87439 Kempten

Germany

Advantech Corporation

380 Fairview Way

Milpitas, CA 95035

Advantech Co., Ltd.

No. 1, Alley 20, Lane 26,

Rueiguang Road, Neihu District,

Taipei City, Taiwan

(c) The Office of Unfair Import Investigations, U.S. International Trade Commission, 500 E Street, S.W., Suite 401, Washington, D.C. 20436; and

(4) For the investigation so instituted, the Chief Administrative Law Judge, U.S. International Trade Commission, shall designate the presiding Administrative Law Judge.

Responses to the complaint and the notice of investigation must be submitted by the named respondents in accordance with section 210.13 of the Commission's Rules of Practice and Procedure, 19 C.F.R. 210.13. Pursuant to 19 C.F.R. 201.16(e) and 210.13(a), such responses will be considered by the Commission if received not later than 20 days after the date of service by the Commission of the complaint and the notice of investigation. Extensions of time for submitting responses to the complaint and the notice of investigation will not be granted unless good cause therefor is shown.

Failure of a respondent to file a timely response to each allegation in the complaint and in this notice may be deemed to constitute a waiver of the right to appear and contest the allegations of the complaint and this notice, and to authorize the administrative law judge and the

Commission, without further notice to the respondent, to find the facts to be as alleged in the complaint and this notice and to enter an initial determination and a final determination containing such findings, and may result in the issuance of an exclusion order or a cease and desist order or both directed against the respondent.

By order of the Commission.

Lisa R. Barton  
Secretary to the Commission

Issued: September 13, 2016

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